

COLLECTORS UNIVERSE INC  
Form 4  
January 03, 2007

**FORM 4**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

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**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
SIMMONS VAN D

2. Issuer Name and Ticker or Trading Symbol  
COLLECTORS UNIVERSE INC  
[CLCT]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction  
(Month/Day/Year)  
12/29/2006

Director  10% Owner  
 Officer (give title below)  Other (specify below)

COLLECTORS UNIVERSE,  
INC., P.O. BOX 6280

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)

Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

NEWPORT  
BEACH, CA 92658-6280

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
			Code	V Amount (A) or (D) Price			
Common Stock	12/29/2006		A <sup>(1)</sup>	2,612 A \$ 0	2,612	D	
Common Stock					201,884 <sup>(2)</sup>	D	

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

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**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Owned Following Reporting Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SIMMONS VAN D COLLECTORS UNIVERSE, INC. P.O. BOX 6280 NEWPORT BEACH, CA 92658-6280		X		

## Signatures

Christine  
Kakour 01/03/2007

\*\*Signature of Reporting Person Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

(1) An award, pursuant to Rule 16b-3(d), of 2,612 restricted shares granted under the Issuer's 2006 Equity Incentive Plan. The shares are subject to possible forfeiture back to the Company if the Reporting Person's service with the Issuer were to terminate prior to December 5, 2007, as follows: (a) as to all 2,612 of the shares if such service were to terminate prior to March 29, 2007; (b) as to 1,959 of the shares, if such service were to terminate after March 29, 2007 and prior to June 29, 2007; (c) as to 1,306 of the shares, if such service were to terminate after June 29, 2007 and prior to September 29, 2007, and (d) as to 653 shares, if such service were to terminate after September 29, 2007 and prior to December 5, 2007.

(2) Total of previously reported common stock owned by reporting person. Does not include, and Mr. Simmons disclaims beneficial ownership of a total 15,474 shares held in a trust of which Mr. Simmons is the trustee, but in which shares Mr. Simmons has no financial or pecuniary interest.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.